



**Office of Enterprise Compliance Report - Matrix**  
**February 2006**

**Attachment A**

	<b>DATE OF ASSIGNMENT</b>	<b>STATUS</b>
1. Personnel Update	Ongoing	Recruitment and selection for the Executive Secretary position is ongoing.  Compliance Area Manager for Health interviews to be scheduled in January and February of 2006.
2. Program Activities	Ongoing	CCO provided "Why Compliance is Important to You" presentation to Benefits Services Division, Health All Staff and Public Affairs management team.  Division website launched on Insider. External site updated with division information.  Research CCO Annual Report formats and prepare 2005 Chief Compliance Officer's Annual Report on Enterprise Compliance.
3. Reporting Significant Non-Compliance Issues	January 2005	Ongoing.



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4. Regulatory Review	June 2005	Review of proposed rules, regulations and applicability to CalPERS on a monthly basis. Review conducted and no significant items to report for December 2005 and January 2006. CCO and Legal staff conduct ongoing review of proposed regulations and combine with business line efforts. CCO and Legal meet with Governmental Affairs to discuss status of project.
5. Compliance Area Manager - Investments	Ongoing	<p>Compliance Area Manager (CAM) is monitoring pre and post execution of trades daily. Weekly reporting on compliance summary to CCO. Monthly report of warning trends and patterns to Senior Portfolio Manager.</p> <p>Compliance activities transferred to the Office of Enterprise Compliance and Legal Office from the Investment Office in January 2006 for Fixed Income portfolio. CAM is monitoring daily and providing weekly report of compliance warnings and alerts.</p> <p>CCO discuss policy and procedures with Real Estate and AIM Consultants.</p>
6. Compliance Area Manager – Health	Ongoing	CCO meet with Office of Audit Services staff to discuss review of HIPAA Security requirements and compliance functions.